

Security Survey Program

Objective:

The survey program provides assurance to the Secretary of Energy, Departmental elements, and other government agencies (OGAs) that safeguards and security (S&S) interests and activities are protected at the required levels. In addition, the survey program provides a basis for line management to make decisions regarding S&S program implementation activities, including allocation of resources, acceptance of risk, and mitigation of vulnerabilities. Survey results provide a compliance- and performance-based documented evaluation of the S&S program.

Requirements:

Following is the types and frequencies of surveys:

Initial Survey – Conducted at facilities where there will be a facility clearance established. Initial surveys must be conducted for facilities with an importance rating of: A, B, C, or PP (See definitions of facility importance ratings below).

Periodic Survey – Conducted for all facilities with a facility clearance on a reoccurring basis determined by the facilities importance rating. Facilities with importance rating of A, B, or C must be surveyed once every 12 months. Facilities with an importance rating of PP must be surveyed once every 24 months. Facilities with importance ratings of D, NP or E do not require surveys but do require periodic reviews.

Special Survey – Conducted at facilities for specific limited purposes.

Termination Survey – Conducted to verify the termination of Departmental activities and appropriate disposition of S&S interests.

Non-Possessing Reviews – A documented review conducted for D, NP and E facilities at least every 5 years.

In addition to surveys listed above a self-assessment must be conducted between the periodic surveys conducted by the cognizant security authority and include all applicable facility S&S program elements.

The periodic survey frequency can be extended up to 24 months provided the following conditions are met:

- 1) the facility was rated satisfactory during the most recent survey activity;
- 2) the facility has no unmitigated deficiencies that impact the security posture of the facility, and all applicable topical area ratings are satisfactory from the previous survey; and

3) all applicable topical area ratings from the most recent self-assessment are satisfactory, and the DOE cognizant security authority concurs with the ratings.

Facility Importance Ratings:

“A” Importance Ratings - Ratings assigned to those facilities that meet any of the following criteria:

1) engaged in administrative activities considered essential to the direction and continuity of the overall DOE nuclear weapons program, as determined by the Departmental element;

2) authorized to possess Top Secret or possess SAP matter or designated as Field Intelligence Elements;

3) authorized to possess Category I quantities of SNM (including facilities with credible roll-up quantities of SNM to a Category I quantity); or

4) critical infrastructure programs determined to be essential by DOE line management.

“B” Importance Ratings - Ratings assigned to those facilities that meet any of the following criteria:

1) engaged in activities other than those categorized as “A” and authorized to possess Secret (S)/Restricted Data (RD) and/or weapon data matter;

2) authorized to possess Category II quantities of SNM; or

3) authorized to possess certain categories of biological agents.

“C” Importance Ratings - Ratings assigned to those facilities that meet any of the following criteria:

1) authorized to possess Categories III and IV quantities of SNM or other nuclear materials requiring safeguards controls or special accounting procedures; or

2) authorized to possess classified information or matter other than the type categorized for “A” and “B” facilities.

“D” Importance Ratings - Ratings assigned to those facilities that provide common carrier, commercial carrier, or mail service and are not authorized to store classified information or matter, or nuclear material during nonworking hours. (Carriers who store classified information or matter, or nuclear material must be assigned an “A,” “B,” or “C” importance rating).

“E” (Excluded Parent) Importance Ratings. Ratings assigned to a corporate tier parent (of a contractor organization) that has been barred from participation in the activities related to a contract with DOE.

“PP” (Property Protection) Importance Ratings. Ratings assigned to those facilities for which a special standard of protection must be applied. Basic considerations include physical protection to prevent or deter acts of arson, civil disorder, riots, sabotage, terrorism, vandalism, and theft or destruction of DOE property and facilities. These special standards are applied when a facility has:

- 1) Government property of a significant monetary value (more than \$5 million, exclusive of facilities and land values);
- 2) nuclear materials requiring safeguards controls or special accounting procedures other than those categorized as types “A,” “B,” or “C”;
- 3) responsibility for DOE program continuity;

Tools:

Survey Report Form

<http://www.pnl.gov/isrc/fsa.stm>